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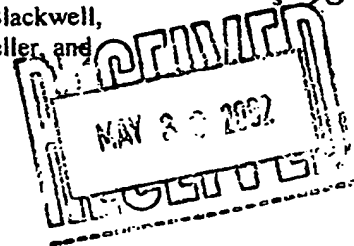
ATTORNEY'S DOCKET NO: C01104/70015

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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Kevin J. Dowling, Frederick M. Morgan, Ihor A. Lys, Michael K. Blackwell,
Alfred Ducharme, Ralph Osterhout, Colin Piepgras, George G. Mueller, and
Dawn Geary
Serial No: 09/805,368
Filed: March 13, 2001
For: LIGHT-EMITTING DIODE BASED PRODUCTS

Examiner: Unassigned
Art Unit: 2811

CERTIFICATE OF MAILING UNDER 37 C.F.R. §1.8(a)

The undersigned hereby certifies that this document is being placed in the United States mail with first-class postage attached, addressed to the Commissioner for Patents, Washington, D.C. 20231, on the 14th day of February, 2002.

Janine Michalski
Janine Michalski

COMMISSIONER FOR PATENTS
WASHINGTON, D.C. 20231

TRANSMITTAL LETTER

Sir:

Transmitted herewith for filing are the following documents:

- [X] Information Disclosure Statement, PTO Form 1449 with References Cited
- [X] Return Postcard

If the enclosed papers are considered incomplete, the Mail Room and/or the Application Branch is respectfully requested to contact the undersigned collect at (617)720-3500, Boston, Massachusetts.

No fee is required. If the fee is insufficient, the balance may be charged to the account of the undersigned, Deposit Account No. 23/2825. A duplicate of this sheet is enclosed.

Respectfully submitted,

Kevin J. Dowling, et al., Applicants

By:

Joseph F. Giunta
Richard F. Giunta, Reg. No. 36,149
Joseph Teja, Jr., Reg. No. 45,157
Wolf, Greenfield & Sacks, P.C.
600 Atlantic Avenue
Boston, MA 02210
Tel. (617) 720-3500
Attorneys for Applicants

Docket No. C01104/70015
Dated: February 14, 2002

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ATTORNEY'S DOCKET NO: ~~C0110470015~~ RECEIVED

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE FEB 28 2002

Applicant: Kevin J. Dowling, Frederick M. Morgan, Ihor A. Lys, Michael K. Blackwell, ROOM
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Janine Michalski

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WASHINGTON, D.C. 20231

**STATEMENT FILED PURSUANT TO THE DUTY OF
DISCLOSURE UNDER 37 CFR §§1.56, 1.97 AND 1.98**

Sir:

Pursuant to the duty of disclosure under 37 C.F.R. §§1.56, 1.97 and 1.98, the Applicant requests consideration of this Information Disclosure Statement.

PART I: Compliance with 37 C.F.R. §1.97

This Information Disclosure Statement has been filed before the mailing date of a first Office Action on the merits in the above-identified case.

No fee or certification is required.



ATTORNEY'S DOCKET NO: ~~CONFIDENTIAL~~ 0470015

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE FEB 28 2002

Applicant: Kevin J. Dowling, Frederick M. Morgan, Ihor A. Lys, Michael K. Blackwell, Alfred Ducharme, Ralph Osterhout, Colin Piepgras, George G. Mueller, and Dawn Geary
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Examiner: Unassigned
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Janine Michalski

COMMISSIONER FOR PATENTS
WASHINGTON, D.C. 20231

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DISCLOSURE UNDER 37 CFR §§1.56, 1.97 AND 1.98**

Sir:

Pursuant to the duty of disclosure under 37 C.F.R. §§1.56, 1.97 and 1.98, the Applicant requests consideration of this Information Disclosure Statement.

PART I: Compliance with 37 C.F.R. §1.97

This Information Disclosure Statement has been filed before the mailing date of a first Office Action on the merits in the above-identified case.

No fee or certification is required.

PART II: Information Cited

The Applicant hereby makes of record in the above-identified application the information listed on the attached form PTO-1449 (modified). The order of presentation of the references should not be construed as an indication of the importance of the references.

PART II: Remarks

Documents cited on the attached form PTO-1449 (modified) are enclosed unless otherwise indicated on the attached form PTO-1449 (modified). It is respectfully requested that:

1. The Examiner consider completely the cited information, along with any other information, in reaching a determination concerning the patentability of the present claims;
2. The enclosed form PTO-1449 be signed by the Examiner to evidence that the cited information has been fully considered by the Patent and Trademark Office during the examination of this application;
3. The citations for the information be printed on any patent which issues from this application.

By submitting this Information Disclosure Statement, the Applicant makes no representation that a search has been performed, of the extent of any search performed, or that more relevant information does not exist.

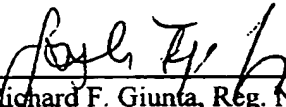
By submitting this Information Disclosure Statement, the Applicant makes no representation that the information cited in the Statement is, or is considered to be, material to patentability as defined in 37 C.F.R. §1.56(b).

By submitting this Information Disclosure Statement, the Applicant makes no representation that the information cited in the Statement is, or is considered to be, in fact, prior art as defined by 35 U.S.C. §102.

Notwithstanding any statements by the Applicant, the Examiner is urged to form his own conclusion regarding the relevance of the cited information.

An early and favorable action is hereby requested.

Respectfully submitted,
Kevin J. Dowling et al., Applicants

By: 
Richard F. Giunta, Reg. No. 36,149
Joseph Teja, Jr., Reg. No. 45,157
Wolf, Greenfield & Sacks, P.C.
600 Atlantic Avenue
Boston, MA 02210
Tel. (617) 720-3500
Attorneys for Applicants

Docket No. C01104/70015
Dated: February 14, 2002

**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**

FILING DATE: March 13, 2001

APPLICANT: Kevin J. Dowling, et al.

GROUP ART UNIT: 2811

EXAMINER: Unassigned

Sheet 1 of 2

U.S. PATENT DOCUMENTS

Examiner's Initials#	Cite No.	U.S. Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication or of issue of Cited Document MM-DD-YYY
		Number	Kind Code		
		US 2001/0021109	A1	Schleifer	09/13/01
		3,737,647		Gomi	06/05/73
		3,949,350		Smith	04/06/76
		4,158,922		Dana, III	06/26/79
		4,296,459		DeLuca	10/20/81
		4,329,625		Nishizawa et al.	05/11/82
		4,656,398		Michael et al.	04/07/87
		4,848,009		Rodgers	07/18/89
		4,870,325		Kazar	09/26/89
		4,947,291		McDermott	08/07/90
		4,992,704		Stinson	02/12/91
		5,008,595		Kazar	04/16/91
		5,054,778		Maleyko	10/08/91
		5,228,686		Maleyko	07/20/93
		5,279,513		Connelly	01/18/94
		5,408,764		Wut	04/25/95
		5,420,482		Phares	05/30/95
		5,791,965		Kim	08/11/98
		5,851,063		Doughty et al.	12/22/98
		5,912,653		Fitch	06/15/99
		5,921,652		Parker et al.	07/13/99
		5,924,784		Chliwnyj et al.	07/20/99
		5,975,717		Rahman	11/02/99
		6,016,038		Mueller et al.	01/18/00
		6,086,222		Juba et al.	07/11/00
		6,092,905		Koehn	07/25/00
		6,095,661		Lebens et al.	08/01/00
		6,099,185		Huang et al.	08/08/00
		6,100,913		Aikoh et al.	08/08/00
		6,111,705		Rohlfing	08/29/00
		6,116,748		George	09/12/00
		6,116,751		Remp	09/12/00
		6,135,604		Lin	10/24/00
		6,149,283		Conway	11/21/00
		6,150,774		Mueller et al.	11/21/00
		6,161,910		Reisenauer et al.	12/19/00
		6,166,496		Lys et al.	12/26/00
		6,168,288	B1	St. Claire	01/02/01

FORM PTO-1449/A and B (Modified)		APPLICATION NO.: 09/805,368	ATTY. DOCKET NO.: C01104/70015
INFORMATION DISCLOSURE STATEMENT BY APPLICANT		FILING DATE: March 13, 2001	
		APPLICANT: Kevin J. Dowling, et al.	
		GROUP ART UNIT: 2811	EXAMINER: Unassigned
Sheet	2	of	2

Examiner's Initials#	Cite No.	U.S. Patent Document		Date of Publication or of issue of Cited Document MM-DD-YYY	Date of Publication or of issue of Cited Document MM-DD-YYY
		Number	Kind Code		
		6,184,628	B1	Ruthenberg	02/06/01
		6,196,471	B1	Ruthenberg	03/06/01
		6,211,626	B1	Lys et al.	04/03/01
		6,220,722	B1	Begemann	04/24/01
		6,227,679	B1	Zhang et al.	05/08/01

FOREIGN PATENT DOCUMENTS

Examiner's Initials#	Cite No.	Foreign Patent Document			Name of Patentee or Applicant of Cited Document (not necessary)	Date of Publication of Cited Document MM-DD-YYYY	Translation (Y/N)
		Office/Country	Number	Kind Code			
		GB	2 135 536 A		Wobbot International Limited	08/30/84	
		GB	2 242 364 A		Colin Dowden	10/02/91	
		GB	2 244 358 A		Mark Stephen Gomoluch	11/27/91	
		JP	6 275105 A2			09/30/94	N

OTHER ART - NON PATENT LITERATURE DOCUMENTS

Examiner's Initials#	Cite No	Include name of the author (in CAPITAL LETTERS) title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, relevant page(s), volume-issue number(s), publisher, city and/or country where published.	Translation (Y/N)	
		International Search Report from PCT Application PCT/US01/13151		
		Co-pending U.S. Patent Application, Serial No. 09/805,590, filed March 13, 2001, Kevin J. Dowling et al., "Light-Emitting Diode Based Products"		

EXAMINER	DATE CONSIDERED
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#EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

*a copy of this reference is not provided as it was previously cited by or submitted to the office in a prior application, Serial No. _____, filed _____, and relied upon for an earlier filing date under 35 U.S.C. 120 (continuation, continuation-in-part, and divisional applications).

[NOTE - Must provide a copy of any patent, publication, other information listed, even if it was previously submitted to, or cited by, the U.S. Patent Office in an earlier application, unless the earlier application is identified by the IDS and is relied upon for an earlier filing date under 35 U.S.C. §120, and the copy was provided in the earlier application.]